



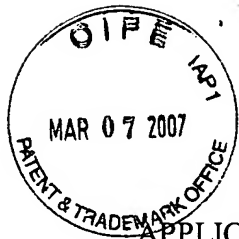
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TRANSMITTAL FORM <i>(to be used for all correspondence during pendency of filed application)</i>	Application Number	10/080,742	
	Filing Date	February 21, 2002	
	First Named Inventor	Markus Olhofer	
	Group Art Unit Number	2123	
	Examiner Name	Ayal I. Sharon	
Total Number of Pages in This Submission	13*	Attorney Docket Number	23077-06634

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Markus Olhofer et al.
APPLICATION NO.: 10/080,742
FILING DATE: February 21, 2002
TITLE: Strategy Parameter Adaptation in Evolution Strategies
EXAMINER: Ayal I. Sharon
GROUP ART UNIT: 2123
ATTY. DKT. NO.: 23077-06634

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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Under 37 CFR §§ 1.56 and 1.97-98

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO/SB/08A listing references for consideration by the Examiner.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

This Information Disclosure Statement is being filed:

- ☐ within three months of the filing date of the application, or date of entry into the national stage of an international application, or before the mailing date of a first office action on the merits, whichever event last occurred;
- ☒ before the mailing of a first official action after the filing of a request for continued examination (RCE) under 37 CFR § 1.114;

- ☐ after three months of the filing date of this national application or the date of entry of the national stage in an international application, or after the mailing date of the first official action on the merits, whichever event last occurred, but before the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; or (2) an action that otherwise closes prosecution in the application, and:
 - ☐ attached hereto is the fee set forth under 37 CFR § 1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
 - ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that:
 - ☐ each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
 - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement;
- ☐ on or before the payment of the issue fee but after the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; (2) a notice of allowance under 37 CFR § 1.311; or (3) an action that otherwise closes prosecution in the application, and:
 - ☐ Applicant certifies pursuant to 37 CFR. § 1.97(e) that:
 - ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement;
 - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this

certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement; AND

- ☐ attached hereto is the fee set forth under 37 CFR §1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(d); OR
- ☐ after the payment of the issue fee. Applicant requests that the information contained in this Information Disclosure Statement be placed in the file according to 37 CFR § 1.97(i), although the information may not be considered by the USPTO.
- ☐ Enclosed is a copy of each listed reference that may be material to the examination of this application, and for which there may be a duty to disclose.
- ☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application No. _____, filed on _____, and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).
- ☒ Copies of any foreign patent documents and non-patent literature cited herein are enclosed.
- ☐ Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application, and the communication was not received by any individual designated in 37 CFR § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement. 37 CFR § 1.704(d).
- ☒ Applicant submits that no fee is required for the consideration of this Information Disclosure Statement.

Consideration of the listed references and favorable action are solicited.

Respectfully submitted,
MARKUS OLHOFFER ET AL.

Dated: 26 March 2007

By: 

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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Complete if Known

Application No.	10/080,742
Filing Date	February 21, 2002
First Named Inventor	Markus Olhofer
Art Unit	2123
Examiner Name	Ayal I. Sharon
Attorney Docket Number	23077-06634

Sheet 1 of 9

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document No. Number - Kind Code ² (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
	A1	US-2004/0049472 A1	03-11-2004	Hayashi et al.
	A2	US-6,662,167	12-09-2003	Xiao
	A3	US-6,606,612	08-12-2003	Rai et al.
	A4	US-6,578,018	06-10-2003	Ulyanov
	A5	US-6,449,603	09-10-2002	Hunter
	A6	US-2002/0138457 A1	09-26-2002	Jin et al.
	A7	US-5,924,048	07-13-1999	McCormack et al.
	A8	US-5,819,244	10-06-1998	Smith
	A9	US-5,724,258	03-03-1998	Roffman
	A10	US-5,541,848	07-30-1996	McCormack et al.
	A11	US-5,461,570	10-24-1995	Wang et al.
	A12	US-5,355,528	10-11-1994	Roska et al.
	A13	US-5,319,781	06-07-1994	Syswerda
	A14	US-5,265,830	11-30-1993	Allen
	A15	US-5,148,513	09-15-1992	Koza et al.

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Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ - Number ⁴ Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T ⁶
	B1	EP 1205877 A1	05-15-2002	Honda R&D Europe (Deutschland GmbH)	
	B2	WO 02/057946 A1	07-25-2002	The Board of Trustees of the University of Illinois	

OTHER REFERENCES - NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ⁶
	C1	AGREZ, D. "Active Power Estimation by Averaging of the DFT Coefficients," Proceedings of the 17 th IEEE	

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Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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23077/06634/DOCS/1691744.1

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Application No.	10/080,742
Filing Date	February 21, 2002
First Named Inventor	Markus Olhofer
Art Unit	2123
Examiner Name	Ayal I. Sharon
Attorney Docket Number	23077-06634

Sheet	2	of	9
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OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS

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		Instrumentation and Measurement Technology Conference, May 1-4, 2000, pp. 630-635, Vol. 2.	
	C2	BALUJA, S. et al., "Combining Multiple Optimization Runs With Optimal Dependency Trees," June 30, 1997, 12 pages, CMU-CS-97-157, Justsystem Pittsburgh Research Center, Pittsburgh, PA and School Of Computer Science, Carnegie Mellon University, Pittsburgh, PA.	
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	C15	DASH et al., "Genetic Optimization of a Self Organizing Fuzzy-Neural Network for Load Forecasting," IEEE	

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Complete if Known	
				Application No.	10/080,742
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				First Named Inventor	Markus Olhofer
				Art Unit	2123
				Examiner Name	Ayal I. Sharon
Sheet	3	of	9	Attorney Docket Number	23077-06634

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		Power Engineering Society Winter Meeting, January 23-27, 2000, pp. 1011-1016, Vol. 2.	
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	C23	EL-BELTAGY, M. A. et al., "Metamodeling Techniques For Evolutionary Optimization Of Computationally Expensive Problems: Promises And Limitations," Genetic Algorithms And Classifier Systems, pp. 196-203.	
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	C28	European Search Report, EP Application No. 0124825, May 14, 2001, 3 pages.	

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Sheet 4 of 9

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	C29	European Search Report, EP Application 04010194, June 7, 2006, 3 pages.	
	C30	FUKUDA, K., "What is Voronoi Diagram in R ^d ?" August 26, 2004, [online] [Retrieved on August 18, 2005] Retrieved from the Internet<URL:http://www.ifor.math.ethz.ch/~fukuda/polyfaq/node29.html>	
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	C33	GRIERSON, D.E. et al., "Optimal Sizing, Geometrical and Topological Design Using a Genetic Algorithm", Structural Optimization, 1993, pp. 151-159, Vol. 6.	
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	C37	HARIK, G. et al., "The Compact Genetic Algorithm," IEEE, 1998, pp. 523-528.	
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	C45	JIN, Y. et al., "On Evolutionary Optimization With Approximate Fitness Functions," 8 pages, Future Technology Research, Honda R&D Europe (D) GmbH, Offenbach/Main, Germany.	
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	C57	LIU, Y. et al., "Evolutionary Ensembles With Negative Correlation Learning," pp. 1-27, The University Of Aizu, Fukushima Japan, The University Of Birmingham, Birmingham, U.K. and Evolvable Systems Laboratory, Computer Science Division, Ibaraki, Japan.	
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Examiner Signature		Date Considered	
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Complete if Known

Application No.	10/080,742
Filing Date	February 21, 2002
First Named Inventor	Markus Olhofer
Art Unit	2123
Examiner Name	Ayal I. Sharon
Attorney Docket Number	23077-06634

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